

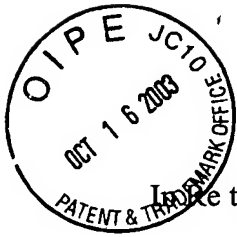


TRANSMITTAL FORM (to be used for all correspondence after initial filing)		Application No.	10/665,515	
		Filing Date	September 16, 2003	
		First Named Inventor	Takashi Matsuoka	
		Art Unit		
Total Number of Pages in This Submission		20	Attorney Docket Number	96790P439

ENCLOSURES (check all that apply)		
<input checked="" type="checkbox"/> Fee Transmittal Form <input type="checkbox"/> Fee Attached <input type="checkbox"/> Amendment / Response <input type="checkbox"/> After Final <input type="checkbox"/> Affidavits/declaration(s) <input type="checkbox"/> Extension of Time Request <input type="checkbox"/> Express Abandonment Request <input checked="" type="checkbox"/> Information Disclosure Statement <input checked="" type="checkbox"/> PTO/SB/08 <input type="checkbox"/> Certified Copy of Priority Document(s) <input type="checkbox"/> Response to Missing Parts/Incomplete Application <input type="checkbox"/> Basic Filing Fee <input type="checkbox"/> Declaration/POA <input type="checkbox"/> Response to Missing Parts under 37 CFR 1.52 or 1.53	<input type="checkbox"/> Drawing(s) <input type="checkbox"/> Licensing-related Papers <input type="checkbox"/> Petition <input type="checkbox"/> Petition to Convert a Provisional Application <input type="checkbox"/> Power of Attorney, Revocation Change of Correspondence Address <input type="checkbox"/> Terminal Disclaimer <input type="checkbox"/> Request for Refund <input type="checkbox"/> CD, Number of CD(s)	<input type="checkbox"/> After Allowance Communication to Group <input type="checkbox"/> Appeal Communication to Board of Appeals and Interferences <input type="checkbox"/> Appeal Communication to Group (Appeal Notice, Brief, Reply Brief) <input type="checkbox"/> Proprietary Information <input type="checkbox"/> Status Letter <input checked="" type="checkbox"/> Other Enclosure(s) (please identify below): <div style="border: 1px solid black; padding: 5px; margin-top: 5px;">Prior Art References (12); return postcard</div>
Remarks		

SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT	
Firm or Individual name	Eric S. Hyman, Reg. No. 30,139 BLAKELY, SOKOLOFF, TAYLOR & ZAFMAN LLP
Signature	
Date	10/10/03

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Signature		Date	10/10/03



Docket No.: 96790P439

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In Re the Application of:

TAKASHI MATSUOKA, ET AL.

Application No.: 10/665,515

Filed: September 16, 2003

For: SEMICONDUCTOR OPTICAL MODULATOR AND LASER
WITH OPTICAL MODULATOR

Art Group:

Examiner:

INFORMATION DISCLOSURE STATEMENT UNDER 37 C.F.R. §1.97

Commissioner for Patents
P.O. Box 1450
Alexandria, VA 22313-1450

In accordance with the duty of disclosure, enclosed is a copy of Information Disclosure Statement by Applicant (form PTO/SB/08), which is being submitted within three (3) months of filing of the application. It is respectfully requested that the cited references be considered and that the enclosed copy of PTO/SB/08 be initialed by the Examiner to indicate such consideration and a copy thereof returned to applicant(s).

The submission of this Information Disclosure Statement is not to be construed as a representation that a search has been made in the subject application and is not to be construed as an admission that the information cited in this statement is material to patentability.

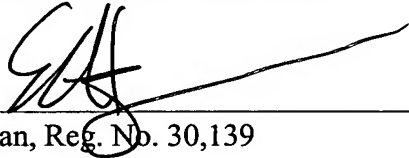
Please charge any fees due to Deposit Account 02-2666. A duplicate copy of the Fee Transmittal (PTO/SB/17) is enclosed for this purpose.

Respectfully submitted,

BLAKELY, SOKOLOFF, TAYLOR & ZAFMAN LLP

Date: _____

10/10/03


Eric S. Hyman, Reg. No. 30,139

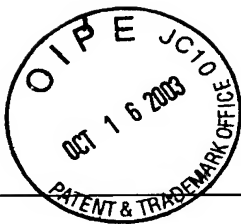
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Substitute for form 1449A/PTO INFORMATION DISCLOSURE STATEMENT BY APPLICANT <i>(use as many sheets as necessary)</i>				Complete if Known	
				Application Number	
				Filing Date	
				First Named Inventor	
				Art Unit	
				Takashi Matsuoka	
				Examiner Name	
Sheet	1	of	1	Attorney Docket Number	

U.S.PATENT DOCUMENT					
Examiner Initials*	Cite No. ¹	Document Number		Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document
		Number	Kind Code ² <i>(if known)</i>		
		US 5,923,688	JP	07-13-1999	NEC Corporation
		US			
		US			
		US			
		US			
		US			

FOREIGN PATENT DOCUMENT							
Examiner Initials*	Cite No. ¹	Foreign Patent Document			Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Tranlation ⁶
		Country Code ³	Number ⁴	KindCode ⁵ <i>(if known)</i>			
		JP	08-086978	A	04-02-1996	NTT CORPORATION	ABST
		JP	10-294532	A	11-04-1998	TOSHIBA CORP	ABST
		JP	2002-176196	A	06-21-2002	NGK INSULATORS LTD	ABST

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¹Applicant's unique citation designation number (optional). ²See Kinds Codes of USPTO Patent Documents at www.uspto.gov, MPEP901.04 or in the comment box of this document. ³Enter office that issued the document, by the two-letter code (WIPO Standard ST.3) ⁴For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. ⁵Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST. 16 if possible. ⁶Applicant is to indicate here if English language Translation is attached.



PTO/SB/08B (modified)

Substitute for form 1449B/PTO INFORMATION DISCLOSURE STATEMENT BY APPLICANT <i>(use as many sheets as necessary)</i>				<i>Complete if Known</i>	
				Application Number	
				Filing Date	
				First Named Inventor	
				Art Unit	
				Examiner Name	
Sheet	1	of	1	Attorney Docket Number	

OTHER PRIOR ART–NON PATENT LITERATURE DOCUMENTS			
Examiner Initials*	Cite No. ¹	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium catalog, etc.), date, page(s), volume–issue number(s), publisher, city and/or country where published.	Translation ²
		Bernardini et al., "Spontaneous polarization and piezoelectric constants of III–V nitrides", Phys. Rev. B, 56 (1997) R10024	
		Osamura et al., "Fundamental absorption edge GaN, InN and their alloys", Solid State Comm., 11(1972)617	
		Puychevri et al., "Synthesis of III–V semiconductor nitrides by reactive cathodic sputtering", Thin Solid Films, 36(1976)141	
		Tansley et al., "Optical band gap of indium nitride", J Appl. Phys., 59(1986)3241	
		Matsuoka et al., "Wide–Gap Semiconductor (In, Ga) N", International Symposium on GaAs and Related Compounds, (Karuizawa, Japan, 1989); in Inst. Phys. Conf. Ser., 106. pp. 141 – 146	
		Matsuoka, "Phase Separation in Wurtzite In _{1-x-y} Ga _x Al _y N", MRS Internet J. Nitride Semicond. Res. 3,54(1998)	
		Matsuoka et al., "OPTICAL BANDGAP ENERGY OF InN", Extended Abstracts(the 36 th Meeting,); The Japan Society of Applied Physics and Related Societies, pp. 270 (1p–ZN–9) (1998)	
		Matsuoka et al., "OPTICAL BANDGAP ENERGY OF InN", Extended Abstracts(the 49 th Spring Meeting, 2002); The Japan Society of Applied Physics and Related Societies, pp. 392 (29p–ZM–1)	

Examiner Signature		Date Considered	
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